

Express Mail Label No.: EK005149397US  
Date of Deposit: August 1, 2001

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Q 1 AUG 2001

Attorney Docket No. 21508-022 NATL

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: McMahon et al.  
ASSIGNEE: President and Fellows of Harvard College  
SERIAL NUMBER: 09/674,292 EXAMINER: Not Yet Assigned  
I.A. FILING DATE: April 30, 1998 ART UNIT: Not Yet Assigned  
FOR: INDUCTION OF NEURONAL REGENERATION

August 1, 2001  
Boston, Massachusetts

BOX PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO COMPLY  
WITH SEQUENCE LISTING REQUIREMENTS**

Sir:

In response to the Notice to Comply with Sequence Listing Requirements, mailed May 31, 2001 in the above mention application, Applicants submit a computer readable form (CRF) of the "Sequence Listing" and a statement that the content of the paper and computer readable copies are the same. Applicants also submit a petition for a one (1) month extension of time and the required fee of \$55.00 under 37 C.F.R. §1.17(a)(1). With the extension, the response is due on or before August 31, 2001.

**CONCLUSION**

Applicants believe no additional fees are due in this filing, however, the Commissioner is authorized to charge any additional fees due, or credit any overpayment of same, to the undersigned's account, Deposit Account No. 50-0311, Reference No. 21508-022NATL.

The Examiner is encouraged to call the undersigned below with any questions or comments.

Respectfully submitted,

*Ivor R. Elrifji*

Ivor R. Elrifji, Reg. No.: 39,529I  
Ingrid A. Beattie, Reg. No. 42,306  
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Tel: (617) 542-6000  
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PC18 Rec'd PCT/PTC 01 AUG 2001

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**TRANSMITTAL LETTER**

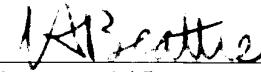
Sir:

Transmitted herewith for filing in the above-identified application are the following documents:

- Response to Notice to Comply with Sequence Listing Requirements (1 pg.);
- Preliminary Amendment (1 pg.);
- Sequence Listing (15 pgs.);
- One Diskette;
- Statement in Support of Computer Readable Form Submission (1 pg.);
- Copy of Notice to Comply with Requirements (2 pgs.);
- Petition for Extension of Time (1 pg., in duplicate);
- Check in the amount of \$55.00.); and
- Return Postcard.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at 617-542-6000, Boston, Massachusetts. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311 (Reference No. 21508-022 NATL). A duplicate copy of this Transmittal is enclosed.

Respectfully submitted,

  
Ivor R. Elrifi, Reg. No.: 39,529I  
Ingrid A. Beattie, Reg. No. 42,306  
Attorneys for Applicants  
c/o MINTZ, LEVIN  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000



## UNITED STATES PATENT AND TRADEMARK OFFICE

10 MAY 2001

01 AUG 2001

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20591-0001  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NO.

09/674292

FIRST NAME, MIDDLE NAME

MCMAHON

CITY OR COUNTRY

21508-022 NA

INTERNATIONAL APPLICATION NO.

PCT/US98/08716

INGRID A BEATTIE  
MINTZ LEVIN COHN FERRIS GLOVSKY AND POPEO  
ONE FINANCIAL CENTER  
BOSTON, MA 02111

PA FILING DATE

PRIORITY DATE

30 APR 98

DATE MAILED 21 MAY 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- The application fails to comply with the requirements of 37 CFR 1.821-1.825.  
 This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(e).  
 A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).  
 A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."  
 The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).  
 The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).  
 Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."  
 An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.  
 A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CALL:

- (703) 308-4216, for Rules interpretation.  
(703) 308-4212, for CRF submission help.  
(703) 287-0200, for PatentIn software help.

Christine S. Washington

Telephone: 703-305-3752

10 Recs

01 AUG 2001

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TAB



UNITED STATES PATENT AND TRADEMARK OFFICE

10 Recs 01 AUG 2001 RECEIVED TAB

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MINTZ LEVIN  
PATENT DOCKETCommissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20591  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NO.

09/674292

FIRST NAMED APPLICANT

MCMAHON

ATTY. DOCKET NO.

21508-022NATL 14

INTERNATIONAL APPLICATION NO.

PCT/US98/08716

NAME OF APPLICANT

INGRID A. BEATTIE  
MINTZ, LEVIN, COHN, FERRIS, GLOVSKY AND POPEO  
ONE FINANCIAL CENTER  
BOSTON, MASS 02111

FAX TRANSMISSION DATE

30 APR. 98

31 MAY 2001

\*\*\*CORRECTED COPY. HOPE THAT THIS DOES  
NOT CAUSE ANY INCONVENIENCES

DATE MAILED

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494)  an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee.  Indication of Small Entity Status.
- Copy of the international application.  Translation of the international application into English.
- Oath or Declaration of inventors(s).  Translation of Article 19 amendments into English.
- Copy of Article 19 amendments.  Other: PETITION FOR EXTENSION OF TIME, SEQUENCE LISTING, IB 306, ISA/210
- Priority Document.
- The International Preliminary Examination Report in English and its Annexes, if any
- Translation of Annexes to the International Preliminary Examination Report into English

2.  Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

U.S. Basic National Fee.  Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- b. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- c. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- d. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- e. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- f. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$\_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5.  Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.  SEE ATTACHED PCT/DO/EO/920 FORM

Date By	5/1/01
<input type="checkbox"/> Data Entry	5/1/01
<input checked="" type="checkbox"/> Docket Entry	5/1/01
<input type="checkbox"/> Docket Cross Off	5/1/01
<input type="checkbox"/> Previously Entered	5/1/01
<input checked="" type="checkbox"/> No Marketing Reg	5/1/01
<input type="checkbox"/> ELITE	5/1/01

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (WHERE 37 CFR 1.495 APPLIES) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes MUST be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.

7. The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: PCT/DO/EO/917 Notice of Defective Translation  
PTO 875 PCT/DO/EO/920 Christine S. Washington

Telephone: 703-305-3752

FORM PCT/DO/EO/905 (March 2001)